

**Appendix 2 to
Master Service Agreement**

March 31, 2014



Data Center Services Attachment to Service Component Provider Master Services Agreement

DIR Contract No. DIR-DCS-SCP-MSA-003

Between

**The State of Texas, acting by and through
the Texas Department of Information Resources**

and

Xerox Corporation

Attachment 3-B SLA Definitions, Tools, Methodologies

March 31, 2014

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A.0 CRITICAL SERVICE LEVELS – PRINT-MAIL

This Section sets forth qualitative descriptions of the Critical Service Levels for the Print-Mail Service Component. The numerical Minimum Service Levels, Expected Service Levels and commencement of obligations associated with such Critical Service Levels are set forth in **Attachment 3-A**.

A.1 Resolution Time – Sev 1, 2, 3 and 4 – Print-Mail

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Resolution Time – Sev 1, 2, 3 and 4 – Print-Mail		3-A	R1.2.1P	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	Yes, 12+ months of data available			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.2.1E Resolution Time - Sev 1 – Enterprise R1.2.2E Resolution Time - Sev 2 – Enterprise R1.2.3E Resolution Time - Sev 3 and 4 – Enterprise		
METRIC DESCRIPTION	The Service Level for “Resolution Time – Sev 1, 2, 3 and 4 – Print-Mail” measures the percentage of time Service Provider Resolves Incidents within the applicable timeframes. If an Incident is escalated to a higher Severity Level, then the Resolution Time clock restarts upon escalation to the higher Severity Level. Upon escalation, a new ticket will be created and the original ticket will be cancelled. The cancelled ticket will be related to the new ticket.			
METRIC INCLUSIONS and DATA SOURCES	Includes all Print-Mail Service Component Incidents. The applicable resolution timeframes are listed below. <u>Severity 1</u> <ul style="list-style-type: none">• ≤4 hours <u>Severity 2</u> <ul style="list-style-type: none">• ≤6 hours <u>Severity 3</u> <ul style="list-style-type: none">• The Incident shall be Resolved within 3780 minutes (i.e. 63 hours or 7 Business Days) where such minutes shall be measured only between 8:00 AM and 5:00 PM inclusive on Business Days. <u>Severity 4</u> <ul style="list-style-type: none">• The Incident shall be Resolved within 4860 minutes (i.e. 81 hours or 9 Business Days) where such minutes shall be measured only between 8:00 AM and 5:00 PM inclusive on Business Days.			
METRIC EXCLUSIONS	N/A			

HOURS OF MEASUREMENT	Sev 1 and Sev 2: 24 Sev 3 and Sev 4: 8:00 AM – 5:00 PM
DAYS OF MEASUREMENT	Sev 1 and Sev 2: 365(366) Sev 3 and Sev 4: Business Days
MINIMUM SERVICE LEVEL	96.00%
EXPECTED SERVICE LEVEL	97.50%
ALGORITHM	<p>The Service Level calculation for “Resolution Time – Sev 1, 2, 3 and 4 – Print-Mail” is the total number of Incidents for which the Resolution Time is less than or equal to the relevant resolution timeframe, divided by the total number of Resolved Incidents plus the total number of open Incidents that have exceeded the relevant resolution timeframe, with the result expressed as a percentage.</p> <p>For purposes of clarity, note the following:</p> <p>(a) if an Incident is opened within the current Measurement Window, but its relevant resolution timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window’s calculation (unless such Incident is actually Resolved in the current Measurement Window, in which case it is included in the current Measurement Window’s calculation)</p> <p>(b) an open Incident that has exceeded the relevant resolution timeframe is also carried forward into subsequent Measurement Windows as a breach until Resolved; if it is resolved within twenty-eight (28) days following its relevant resolution timeframe, it is excluded from the subsequent Measurement Window; otherwise, it is counted as failed to meet the resolution timeframes in each subsequent Measurement Window’s calculation until Resolved.</p> <p>A low volume alternative calculation, set forth in <u>Attachment 3-A</u>, shall apply when the total volume of Incidents falls within the volume (denominator) ranges specified in that Attachment.</p>
COLLECTION PROCESS	<p>Incident tickets will be logged in the MSI ITSM system. Incidents will be categorized and assigned to resolver teams who will work to resolve the incident and progress the ticket through the incident management lifecycle.</p> <p>Incident data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter incident tickets based on appropriate measurement criteria.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> ▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	

METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual
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A.2 Service Request Fulfillment – Print-Mail

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Service Request Fulfillment – Print-Mail		3-A	R1.3.1P	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.1E Service Request Fulfillment – Enterprise		
METRIC DESCRIPTION	The Service Level for “Service Request Fulfillment – Print-Mail” measures the percentage of time Service Provider successfully completes “Service Requests” (which are defined as requests that do not require solution proposal development; examples of such requests include provisioning ID access, password resets, Service Catalog requests, etc.). Specific target timeframes are maintained in the SMM.			
METRIC INCLUSIONS and DATA SOURCES	Service Requests shall be an agreed upon set of service requests as specified in the SMM.			
METRIC EXCLUSIONS	Service Requests related to data recoveries.			
HOURS OF MEASUREMENT	As maintained in SMM			
DAYS OF MEASUREMENT	As maintained in SMM			
MINIMUM SERVICE LEVEL	90.00%			
EXPECTED SERVICE LEVEL	95.00%			

ALGORITHM	<p>The Service Level calculation for “Service Request – Print-Mail” is the total number of Service Requests that are resolved within the committed timeframes, divided by the total number of resolved Service Requests plus the total number of open Service Requests that have exceeded the committed timeframes, with the result expressed as a percentage.</p> <p>For purposes of clarity, note the following:</p> <p>(a) if a Service Request is opened within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window’s calculation (unless such Service Request is actually resolved in the current Measurement Window, in which case it is included in the current Measurement Window’s calculation)</p> <p>(b) an open Service Request that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows as a breach until resolved; if it is resolved within twenty-eight (28) days following its relevant resolution timeframe, it is excluded from the subsequent Measurement Window; otherwise, it is counted as failed to meet the committed timeframes in each subsequent Measurement Window’s calculation until resolved.</p> <p>A low volume alternative calculation, set forth in <u>Attachment 3-A</u>, shall apply when the total volume of Service Requests falls within the volume (denominator) ranges specified in that Attachment.</p>
COLLECTION PROCESS	<p>Service Requests that do not require solution proposal development will be logged and tracked in the MSI ITSM System. Service Requests will be categorized and assigned to resolver teams who will work to fulfill the Service Request and progress the ticket through the service request management lifecycle.</p> <p>Service Request data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter service request tickets based on appropriate measurement criteria.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> ▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	<p>Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.</p>
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

A.3 Solution Proposal Delivery – Print-Mail

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Solution Proposal Delivery – Print-Mail		3-A	R1.3.2P	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.2E Solution Proposal Delivery – Enterprise		
METRIC DESCRIPTION	<p>The Service Level for “Solution Proposal Delivery – Print-Mail” measures the percentage of time Service Provider delivers a viable proposal to DIR Customers within the committed timeframes, in response to a solution request.</p> <p>Following receipt of requirements, the Service Provider shall deliver a proposal for each request within the timeframes as listed below:</p> <ul style="list-style-type: none">▪ Small within 15 calendar days▪ Medium within 30 calendar days▪ Large within 45 calendar days▪ Very Large within 60 calendar days <p>When a proposal is delivered, it must include a committed timeframe for project implementation specified as Business Days from the time the project is assigned to the project pool to the implementation completion. This committed number of Business Days will be used in the “Solution Implementation” Service Level.</p> <p>Specific size criteria and guidelines shall be maintained in the SMM.</p>			
METRIC INCLUSIONS and DATA SOURCES	Each proposal submitted to DIR Customers will be counted as a measurable event. If there are multiple proposals for one request due to requirements changes then subsequent iterations will be counted as another event. Each will count as an event and an opportunity to succeed or fail.			
METRIC EXCLUSIONS	Service Requests			
HOURS OF MEASUREMENT	24			
DAYS OF MEASUREMENT	365(366)			
MINIMUM SERVICE LEVEL	90.00%			
EXPECTED SERVICE LEVEL	95.00%			

ALGORITHM	<p>The Service Level calculation for “Solution Proposal Delivery – Print-Mail” is the total number of solution proposals that are delivered within the committed timeframes, divided by the total number of delivered proposals plus the total number of open proposals that have exceeded the committed timeframes, with the result expressed as a percentage.</p> <p>For purposes of clarity, note the following:</p> <p>(a) if a solution proposal request is opened within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window’s calculation (unless such request is actually delivered in the current Measurement Window, in which case it is included in the current Measurement Window’s calculation)</p> <p>(b) an open solution proposal request that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows as a breach until delivered; if it is delivered within twenty-eight (28) days following its relevant committed timeframe, it is excluded from the subsequent Measurement Window; otherwise, it is counted as failed to meet the committed timeframes in each subsequent Measurement Window’s calculation until delivered.</p>
COLLECTION PROCESS	<p>Solution proposal requests will be logged and tracked in the MSI ITSM System. Solution proposal requests will be categorized and assigned to teams who will work to deliver a proposal and progress the ticket through the service request management lifecycle.</p> <p>Solution proposal data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter service request tickets based on appropriate measurement criteria.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> ▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	<p>Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.</p>
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

A.4 Solution Implementation – Print-Mail

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
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Solution Implementation – Print-Mail		3-A	R1.3.3P	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.3E Solution Implementation – Enterprise		
METRIC DESCRIPTION	The Service Level for “Solution Implementation – Print-Mail” measures the percentage of time Service Provider successfully implements a Solution Request within the committed timeframe. All phases of the Solution implementation process from DIR assignment of the project to the project pool through successful implementation (which requires DIR Customer acceptance) into production are included in this measure.			
METRIC INCLUSIONS and DATA SOURCES	The committed timeframe is that timeframe specified in the proposal (as further described in the “Solution Proposal Delivery” Service Level) or otherwise as agreed by the requester.			
METRIC EXCLUSIONS	Service Requests			
HOURS OF MEASUREMENT	N/A			
DAYS OF MEASUREMENT	N/A			
MINIMUM SERVICE LEVEL	90.00%			
EXPECTED SERVICE LEVEL	95.00%			
ALGORITHM	<p>The Service Level calculation for “Solution Implementation – Print-Mail” is the total number of projects that are successfully implemented within the committed timeframes, divided by the total number of projects implemented plus the total number of projects that have passed the committed timeframe, with the result expressed as a percentage.</p> <p>Projects will be reported in the Measurement Window in which the associated Change ticket is closed, allowing sufficient time to determine if the project was successful.</p> <p>For purposes of clarity, note the following:</p> <p>(a) if a project is assigned within the current Measurement Window, but its relevant committed timeframe extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window’s calculation (unless such project is actually implemented in the current Measurement Window, in which case it is included in the current Measurement Window’s calculation)</p> <p>(b) an uncompleted project is also carried forward into subsequent Measurement Windows as a breach until implemented; if it is implemented within twenty-eight (28) days following its relevant committed timeframe, it is excluded from the subsequent Measurement Window; otherwise, it is counted as failed to meet the committed timeframes in each subsequent Measurement Window’s calculation until implemented.</p>			

COLLECTION PROCESS	<p>When a solution proposal is approved a Change ticket of type Project will be created by the MSI Program Manager in the MSI ITSM system. Final sign-off documents will be attached by the SCP when the project is accepted as complete. Upon completion of the post implementation review the MSI Program Manager will close the Change ticket.</p> <p>Solution implementation data will be uploaded from ITSM to ServiceFlow on a daily basis. ServiceFlow will filter change tickets based on appropriate measurement criteria.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> ▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

A.5 CMDB Reconciliation – Print-Mail

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
CMDB Reconciliation – Print-Mail		3-A	R1.3.4P	4
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	Yes			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.4E CMDB Reconciliation – Enterprise		
METRIC DESCRIPTION	The Service Level for “CMDB Reconciliation – Print-Mail” measures the percentage of a random sample of Inventory Records that is determined to be Accurate.			

METRIC INCLUSIONS and DATA SOURCES	<p>The sample for this Service Level must contain a number of randomly selected CMDB Inventory Records that is reasonably acceptable to DIR. The sample size parameters and methodology for sampling will be maintained in the SMM.</p> <p>Additionally, if DIR identifies any missing entries (e.g., a device in the environment with no record in the CMDB), then the missing record will be added to the statistical sample and will be counted as an inaccurate record. For example, if the statistical sample includes 150 randomly identified records, and DIR identifies three missing records, then the total pool for purposes of this calculation is 153.</p> <p>Definitions for purposes of this Service Level:</p> <p>“Accurate” means all Critical Inventory Attributes are correctly and completely populated in the CMDB Inventory of Record.</p> <p>“Critical Inventory Attributes” means those database fields in an Inventory Record that are essential for Service Provider’s successful delivery of Service and necessary for DIR’s successful performance of retained responsibilities, including architecture, IT planning, and reconciliation of invoices. The Critical Inventory Attributes are maintained in the SMM.</p> <p>“CMDB Inventory of Record” means the inventory of CIs, including all Equipment and Software, to be created and maintained by Service Provider in accordance with the SMM.</p> <p>“Inventory Record” means the record for a single item of Equipment or Software in the Inventory of Record, including all of the Critical Inventory Attributes for that item.</p>
METRIC EXCLUSIONS	N/A
HOURS OF MEASUREMENT	N/A
DAYS OF MEASUREMENT	N/A
MINIMUM SERVICE LEVEL	95.00%
EXPECTED SERVICE LEVEL	98.00%
ALGORITHM	<p>The Service Level calculation for “CMDB Reconciliation – Print-Mail” is the total number of CMDB Inventory Records that are validated during the applicable Measurement Window and that are Accurate, divided by the total number of Inventory Records that are validated during the applicable Measurement Window, with the result expressed as a percentage.</p>

COLLECTION PROCESS	<p>The sample of inventory records will be pulled annually from the MSI CMDB using an approved random sampling method. Through standard reconciliation processes, the random sampling is compared with physically validated data as provided by the Service Provider. Critical Inventory Attributes and the Inventory Records to be included in SLA measurement will be documented in the Service Management Manual.</p> <p>The number of accurate CMDB Inventory Records based on measurement criteria will be determined and entered into ServiceFlow by the MSI Asset Management Team, along with the total number of CMDB Inventory Records in the sample set, via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web Form data. Supporting documentation containing details of the assets validated will be attached to the Web Form.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> ▪ SCP discovery tools ▪ MSI CMDB ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual <input checked="" type="checkbox"/> Annual

A.6 License and Maintenance Renewal Timeliness – Print-Mail

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
License and Maintenance Renewal Timeliness – Print-Mail		3-A	R1.3.5P	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	Yes: 12+ months of data available			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.5E License and Maintenance Renewal Timeliness – Enterprise		

METRIC DESCRIPTION	<p>The Service Level for “License and Maintenance Renewal Timeliness – Print-Mail” measures the timeliness of all software license and hardware maintenance renewals and installs as appropriate managed by Service Provider.</p> <p>Expirations for software license and hardware maintenance are maintained in the MSI Contract Management Module.</p>
METRIC INCLUSIONS and DATA SOURCES	This SLA includes the renewal and installation of software licenses (including infrastructure stack and DIR Customer SSC software) included in the Agreement and hardware maintenance agreements included in DIR Customer Hardware Service Charges (HSC).
METRIC EXCLUSIONS	N/A
HOURS OF MEASUREMENT	N/A
DAYS OF MEASUREMENT	N/A
MINIMUM SERVICE LEVEL	98.00%
EXPECTED SERVICE LEVEL	99.00%
ALGORITHM	<p>The Service Level calculation for “License and Maintenance Renewal Timeliness – Print-Mail” is the total number of license or maintenance renewals processed and installed as appropriate prior to their expiration divided by the total number of license or maintenance agreements scheduled to expire within the Measurement Window.</p> <p>For months in which the total volume of license renewals is low, such that missing three (3) renewals would result in a miss of a Minimum Service Level target or missing two (2) renewals would result in a miss of an Expected Service Level target, the following will apply:</p> <ol style="list-style-type: none"> 1. If the Service Provider misses three (3) renewals, then the performance for this Service Level shall be deemed to equal the Minimum Service Level target (e.g., reported as 98%). 2. If the Service Provider misses two (2) or less renewals, then the performance for this Service Level shall be deemed to equal the Expected Service Level target (e.g., reported as 99%). 3. If the Service Provider misses four (4) or more renewals, then the standard calculation applies.

COLLECTION PROCESS	<p>Service Provider will provide current proof of entitlements, license renewal dates, and maintenance renewal dates to the MSI. Data will be maintained in the MSI Contract Management Module. A License and Maintenance Renewal Report will compare renewals that are due in the Measurement Window against those that met or failed the target renewal date.</p> <p>Software and hardware renewals and software installations as appropriate will be logged and tracked in the MSI ITSM system. Service Provider will receive a Service Request to renew from the MSI ITSM system.</p> <p>When appropriate a Change Request will be issued to install software. Software renewal installations will be categorized and assigned to resolver teams who will work to fulfill the request.</p> <p>Software and hardware renewal data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter tickets based on appropriate measurement criteria.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> ■ MSI Contract Management Module ■ MSI ITSM ■ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

A.7 Invoice Dispute Resolution – Print-Mail

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Invoice Dispute Resolution – Print-Mail		3-A	R1.3.6P	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R1.3.6E Invoice Dispute Resolution – Enterprise		
METRIC DESCRIPTION	The Service Level for “Invoice Dispute Resolution – Print-Mail” measures the percentage of invoice disputes that are resolved within twenty (20) Business Days.			

METRIC INCLUSIONS and DATA SOURCES	N/A
METRIC EXCLUSIONS	N/A
HOURS OF MEASUREMENT	8:00 AM – 5:00 PM
DAYS OF MEASUREMENT	Business Days
MINIMUM SERVICE LEVEL	90.00%
EXPECTED SERVICE LEVEL	95.00%
ALGORITHM	<p>The Service Level calculation for “Invoice Dispute Resolution – Print-Mail” is the total number of invoice disputes that are resolved within twenty (20) Business Days of submission, divided by the total number of resolved invoice disputes plus the total number of open invoice disputes that have exceeded twenty (20) Business Days, with the result expressed as a percentage.</p> <p>For purposes of clarity, note the following:</p> <ul style="list-style-type: none"> (a) if an invoice dispute is initiated within the current Measurement Window, but the twenty Business Days extends beyond the end of the current Measurement Window, then it is excluded from the current Measurement Window’s calculation (unless such dispute is actually resolved in the current Measurement Window, in which case it is included in the current Measurement Window’s calculation) (b) an open invoice dispute that has exceeded the committed timeframe is also carried forward into subsequent Measurement Windows as a breach until resolved; if it is resolved within twenty-eight (28) days following its relevant committed timeframe, it is excluded from the subsequent Measurement Window; otherwise, it is counted as failed to meet the committed timeframes in each subsequent Measurement Window’s calculation until resolved. <p>A low volume alternative calculation, set forth in <u>Attachment 3-A</u>, shall apply when the total volume of invoice disputes falls within the volume (denominator) ranges specified in that Attachment.</p>
COLLECTION PROCESS	<p>Invoice disputes will be logged and tracked in the MSI ITSM System. Invoice Disputes will be categorized and assigned to resolver teams who will work to research and resolve the dispute, and progress the ticket through the service request management lifecycle.</p> <p>Invoice Dispute data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter the service request tickets based on appropriate measurement criteria.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> ▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	<p>Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.</p>
PERFORMANCE CATEGORY	Cross Functional

METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

A.8 Daily Mailing Completion Timeliness

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Daily Mailing Completion Timeliness		3-A	U1.4.5P	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	Yes, 12+ months of data available			
SHARE TYPE and CORRESPONDING METRIC	U	N/A		
METRIC DESCRIPTION	The Service Level for “Daily Mailing Completion Timeliness” measures the percentage of time Service Provider completes the daily mailing of documents within the relevant timeframe specified for the job as specified in the SMM.			
METRIC INCLUSIONS	All mailing jobs (critical mail and standard mail). Critical mail is designated by the DIR Customer for mailings that contain protected information by federal and State entities. Standard mail is all mail that is not designated as critical mail.			
METRIC EXCLUSIONS	Documents measured in the Service Level for “Per Piece Daily Mailing Completion Timeliness” (U1.4.8P), as agreed upon in advance with the DIR Customer. Where the relevant timeframe is not met because of the shortage of a DIR Customer provided inventory item, for which Service Provider has requested replenishment within agreed replenishment timeframes and DIR Customer or Third Party Vendor has failed to deliver as requested, the affected documents may be excluded by request of the Service Provider and approval of DIR. Timeframes and lead-times for replenishment will be agreed upon with DIR Customers and maintained in the SMM.			
HOURS OF MEASUREMENT	24			
DAYS OF MEASUREMENT	Business Days			
MINIMUM SERVICE LEVEL	97.50%			
EXPECTED SERVICE LEVEL	99.00%			

ALGORITHM	The Service Level calculation for “Daily Mailing Completion Timeliness” is the total number of documents that are mailed within the relevant timeframe, divided by the total number of all documents that should have been mailed during the applicable Measurement Window, with the result expressed as a percentage.
COLLECTION PROCESS	<p>The NearStar DataServer Job Accounting software identifies and catalogs every job received. Critical information, such as time and date received, number of mail pieces, and job “due out” time, will be logged in the NearStar DataServer Job Accounting database and placed on the job banner page printed with each mailed job. Once printing and mailing processes are complete, the Mail Administrative team will use the job banner page information created by the NearStar Dataserver Job Accounting software, the DF Works job tracking reports, and the operator job tracking logs to reconcile and enter job information into the SLA tracking spreadsheet.</p> <p>On a weekly basis, Service Provider uploads a flat-file version of the SLA tracking spreadsheet, to the MSI designated file store, that details information on all critical and standard mail jobs that were scheduled for execution and indicates those that have and have not been timely mailed. The file will be imported into ServiceFlow weekly.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> • SCP NearStar DataServer Job Accounting • SCP Pitney Bowes DF Works • SCP operator job tracking logs • SCP SLA tracking spreadsheet • MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Other Service Delivery
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

A.9 Document Delivery Timeliness

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Document Delivery Timeliness	3-A	U1.4.6P	0
SERVICE LEVEL TYPE	Critical Service Level		

CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC	U	N/A
METRIC DESCRIPTION	<p>The Service Level for “Document Delivery Timeliness” measures the percentage of time Service Provider delivers documents within the relevant timeframe specified for the jobs.</p> <p>Scheduled jobs have defined timeframes for receipt and delivery which are maintained in the SMM. Ad hoc jobs do not have a defined receipt time and delivery time in the SMM.</p>	
METRIC INCLUSIONS	All jobs with documents delivered by Service Provider courier to DIR Customer locations.	
METRIC EXCLUSIONS	Jobs with documents mailed through DCS mail services.	
HOURS OF MEASUREMENT	7:00 AM – 5:00 PM	
DAYS OF MEASUREMENT	Business Days	
MINIMUM SERVICE LEVEL	99.90%	
EXPECTED SERVICE LEVEL	99.95%	
ALGORITHM	<p>The Service Level calculation for “Document Delivery Timeliness” is the total number of jobs that are delivered within the relevant timeframe divided by the total number of jobs that should have been delivered during the applicable Measurement Window, with the result expressed as a percentage.</p> <p>Job receipt is measured based on receipt of the job into the NearStar DataServer Job Accounting software. A job will be considered on time if the Service Provider delivers scheduled jobs by the required delivery time, or delivers ad hoc jobs within 4 business hours after receipt or as agreed with the DIR Customer.</p>	
COLLECTION PROCESS	<p>The NearStar DataServer Job Accounting software identifies and catalogs every job received. Critical information, such as time and date received, number of documents, and job delivery time, will be logged in the NearStar DataServer Job Accounting database. Scanned delivery data is uploaded into the NearStar DataServer Job Tracking database to provide the actual delivery time.</p> <p>On a weekly basis, Service Provider uploads a flat-file extracted from the NearStar DataServer Job Tracking database that will contain job level detail including job name, date and time received, date and time delivered, attainment status (met or missed), to the MSI designated file store. The file will be imported into ServiceFlow weekly.</p>	
REPORTING TOOLS	<ul style="list-style-type: none"> • SCP NearStar DataServer Job Accounting • SCP NearStar DataServer Job Tracking • MSI ITSM • MSI ServiceFlow 	

RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Other Service Delivery
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

A.10 Critical Mail Output Quality

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Critical Mail Output Quality		3-A	U1.4.7P	0
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	Yes, 12 + months of data available			
SHARE TYPE and CORRESPONDING METRIC	U	N/A		
METRIC DESCRIPTION	<p>The Service Level for “Critical Mail Output Quality” measures the number of customer-impacting defects in critical mailings (as identified and maintained in the SMM) during the applicable Measurement Window. It serves as a measure of quality by evaluating the number of critical mail defects delivered to addressees compared with the total output of mail.</p> <p>Critical mail is designated by the DIR Customer for mailings that contain protected information by federal and State entities. Standard mail is all mail that is not designated as critical mail.</p>			
METRIC INCLUSIONS	<p>A critical mail defect is an incorrect mailing of critical mail. Examples of customer-impacting critical information defects include:</p> <ul style="list-style-type: none">▪ Mismatch of documents containing protected information▪ Sending protected information to an individual other than the intended recipient <p>The number of critical mail defects shall be the number of defects determined to be delivered to addressees and not the number of incidents reported.</p> <p>This measurement shall include the total number of critical mail defects in the month in which they were identified and not the month in which they may have occurred or been delivered. Reporting date shall be the date of the incident unless another date is agreed between Service Provider and DIR.</p>			

METRIC EXCLUSIONS	Mailings measured in the Service Level for “Per Piece Critical Mail Output Quality” (U1.4.9P), as agreed upon in advance with the DIR Customer. Defects detected and corrected prior to mailing.
HOURS OF MEASUREMENT	N/A
DAYS OF MEASUREMENT	N/A
MINIMUM SERVICE LEVEL	99.81%
EXPECTED SERVICE LEVEL	99.90%
ALGORITHM	The Service Level calculation for “Critical Mail Output Quality” is the total number of critical mailings that should have been mailed during the Measurement Window minus the number of critical mailing defects identified in the Measurement Window divided by the total number of critical mailings that should have been mailed during the Measurement Window, with the result expressed as a percentage.
COLLECTION PROCESS	<p>Upon identification of a critical mail defect an incident ticket will be logged in the MSI ITSM system. Analysis will be performed to identify the type of data involved and the total number of pieces involved. Key systems used to perform problem scope identification and root cause analysis are NearStar DataServer Job Accounting software and DF Works.</p> <p>On a weekly basis, Service Provider uploads a flat-file version of the SLA tracking spreadsheet, to the MSI designated file store, that details information on all critical mail jobs that were scheduled for execution. The file will be imported into ServiceFlow weekly.</p> <p>The job number, job name, ITSM master Incident ticket number, and number of critical mail defects will be entered into ServiceFlow by the Service Provider via ServiceFlow Web Form. Confidential information will not be attached to the ServiceFlow Web Form.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> • SCP NearStar DataServer Job Accounting • SCP Pitney Bowes DF Works • MSI ITSM • MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Other Service Delivery
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

A.11 Per Piece Daily Mailing Completion Timeliness

Failure to meet the Service Levels established in this Section Reference, U1.4.8P, shall not constitute a breach or default. In the event Service Provider fails to meet the Service Levels established in this Section, DIR Customer, as its sole remedy, shall receive Service Level Credits, computed in accordance with the methodology outlined in Exhibit 3.

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Per Piece Daily Mailing Completion Timeliness		3-A	U1.4.8P	16
SERVICE LEVEL TYPE	Critical Service Level			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC	U	N/A		
METRIC DESCRIPTION	The Service Level for “Per Piece Daily Mailing Completion Timeliness” measures the percentage of time Service Provider completes the daily mailing of documents within the relevant timeframe specified for the job as specified in the SMM.			
METRIC INCLUSIONS	All mailing jobs (critical mail and standard mail). Critical mail is designated by the DIR Customer for mailings that contain protected information by federal and State entities. Standard mail is all mail that is not designated as critical mail.			
METRIC EXCLUSIONS	Documents measured in the Service Level for “Daily Mailing Completion Timeliness”, as agreed upon in advance with the DIR Customer. Where the relevant timeframe is not met because of the shortage of a DIR Customer provided inventory item, for which Service Provider has requested replenishment within agreed replenishment timeframes and DIR Customer or Third Party Vendor has failed to deliver as requested, the affected documents may be excluded by request of the Service Provider and approval of DIR. Timeframes and lead-times for replenishment will be agreed upon with DIR Customers and maintained in the SMM.			
HOURS OF MEASUREMENT	24			
DAYS OF MEASUREMENT	Business Days			
MINIMUM SERVICE LEVEL	100.00%			
EXPECTED SERVICE LEVEL	100.00%			
ALGORITHM	The Service Level calculation for “Per Piece Daily Mailing Completion Timeliness” is the total number of documents that are mailed within the relevant timeframe, divided by the total number of all documents that should have been mailed during the applicable Measurement Window, with the result expressed as a percentage. When there is a failure to deliver a single piece within the Measurement Window, the SLA result will be displayed as less than 100%.			

COLLECTION PROCESS	<p>The NearStar DataServer Job Accounting software identifies and catalogs every job received. Critical information, such as time and date received, number of mail pieces, and job “due out” time, will be logged in the NearStar DataServer Job Accounting database and placed on the job banner page printed with each mailed job. Once printing and mailing processes are complete, the Mail Administrative team will use the job banner page information created by the NearStar Dataserver Job Accounting software, the DF Works job tracking reports, and the operator job tracking logs to reconcile and enter job information into the SLA tracking spreadsheet.</p> <p>On a weekly basis, Service Provider uploads a flat-file version of the SLA tracking spreadsheet, to the MSI designated file store, that details information on all critical and standard mail jobs that were scheduled for execution and indicates those that have and have not been timely mailed. The file will be imported into ServiceFlow weekly.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> • SCP NearStar DataServer Job Accounting • SCP Pitney Bowes DF Works • SCP operator job tracking logs • SCP SLA tracking spreadsheet • MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Other Service Delivery
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

A.12 Per Piece Critical Mail Output Quality

Failure to meet the Service Levels established in this Section Reference, U1.4.9P, shall not constitute a breach or default. In the event Service Provider fails to meet the Service Levels established in this Section, DIR Customer, as its sole remedy, shall receive Service Level Credits, computed in accordance with the methodology outlined in Exhibit 3.

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Per Piece Critical Mail Output Quality	3-A	U1.4.9P	16
SERVICE LEVEL TYPE	Critical Service Level		
CURRENTLY MEASURED	No		

SHARE TYPE and CORRESPONDING METRIC	U	N/A
METRIC DESCRIPTION	<p>The Service Level for “Per Piece Critical Mail Output Quality” measures the number of customer-impacting defects in critical mailings (as identified and maintained in the SMM) during the applicable Measurement Window. It serves as a measure of quality by evaluating the number of critical mail defects delivered to addressees compared with the total output of mail.</p> <p>Critical mail is designated by the DIR Customer for mailings that contain protected information by federal and State entities. Standard mail is all mail that is not designated as critical mail.</p>	
METRIC INCLUSIONS	<p>A critical mail defect is an incorrect mailing of critical mail. Examples of customer-impacting critical information defects include:</p> <ul style="list-style-type: none"> ▪ Mismatch of documents containing protected information ▪ Sending protected information to an individual other than the intended recipient <p>The number of critical mail defects shall be the number of defects determined to be delivered to addressees and not the number of incidents reported.</p> <p>This measurement shall include the total number of critical mail defects in the month in which they were identified and not the month in which they may have occurred or been delivered. Reporting date shall be the date of the incident unless another date is agreed between Service Provider and DIR.</p>	
METRIC EXCLUSIONS	<p>Mailings measured in the Service Level for “Critical Mail Output Quality” (U1.4.7P), as agreed upon in advance with the DIR Customer. Defects detected and corrected prior to mailing.</p>	
HOURS OF MEASUREMENT	N/A	
DAYS OF MEASUREMENT	N/A	
MINIMUM SERVICE LEVEL	100%	
EXPECTED SERVICE LEVEL	100%	
ALGORITHM	<p>The Service Level calculation for “Per Piece Critical Mail Output Quality” is the total number of critical mailings that should have been mailed during the Measurement Window minus the number of critical mailing defects identified in the Measurement Window divided by the total number of critical mailings that should have been mailed during the Measurement Window, with the result expressed as a percentage. When there is a single defect within the Measurement Window, the SLA result will be displayed as less than 100%.</p>	

COLLECTION PROCESS	<p>Upon identification of a critical mail defect an incident ticket will be logged in the MSI ITSM system. Analysis will be performed to identify the type of data involved and the total number of pieces involved. Key systems used to perform problem scope identification and root cause analysis are NearStar DataServer Job Accounting software and DF Works.</p> <p>On a weekly basis, Service Provider uploads a flat-file version of the SLA tracking spreadsheet, to the MSI designated file store, that details information on all critical mail jobs that were scheduled for execution. The file will be imported into ServiceFlow weekly.</p> <p>The job number, job name, ITSM master Incident ticket number, and number of critical mail defects will be entered into ServiceFlow by the Service Provider via ServiceFlow Web Form. Confidential information will not be attached to the ServiceFlow Web Form.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> • SCP NearStar DataServer Job Accounting • SCP Pitney Bowes DF Works • MSI ITSM • MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Other Service Delivery
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

B.0 KEY MEASUREMENTS – PRINT-MAIL

This Section sets forth qualitative descriptions of the Key Measurements for the Print-Mail Service Component. The numerical Minimum Service Levels, Expected Service Levels and commencement of obligations associated with such Key Measurements are set forth in **Attachment 3-A**.

B.1 Root Cause Analysis Delivery – Print-Mail

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Root Cause Analysis Delivery – Print-Mail	3-A	R2.1.1P	0
SERVICE LEVEL TYPE	Key Measurement		

CURRENTLY MEASURED	Yes, 12+ months of data available	
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.1.1E Root Cause Analysis Delivery – Enterprise
METRIC DESCRIPTION	The Service Level “Root Cause Analysis Delivery – Print-Mail” measures the percentage of time Service Provider delivers to DIR, via email, a Root Cause Analyses within (i) ten (10) Business Days from service restoration (for Severity 1), (ii) ten (10) Business Days from request, or (iii) otherwise as agreed upon by DIR.	
METRIC INCLUSIONS and DATA SOURCES	<p>The RCA is documented and tracked within the Problem Management process, and upon completion, is presented by the Service Provider Problem Management Team to the affected DIR Customer and DIR for review and approval.</p> <p>Service Provider will provide Root Cause Analyses on the most business-critical events, as determined by the ‘DCS Critical List’ maintained in the SMM, and as reasonably requested by DIR or DIR Customers for all other Incidents.</p>	
METRIC EXCLUSIONS	N/A	
HOURS OF MEASUREMENT	8:00 AM – 5:00 PM	
DAYS OF MEASUREMENT	Business Days	
MINIMUM SERVICE LEVEL	96.00%	
EXPECTED SERVICE LEVEL	98.00%	
ALGORITHM	The Service Level calculation for “Root Cause Analysis Delivery – Print-Mail” is the total number of Root Cause Analyses that are delivered to DIR within the required timeframe, divided by the total number of Root Cause Analyses delivered to DIR during the applicable Measurement Window, with the result expressed as a percentage.	
COLLECTION PROCESS	<p>Problem investigations (requests for Root Cause Analysis) will be logged and tracked in the MSI ITSM System. Problems will be categorized and assigned to teams who will analyze the request and perform and document the root cause analysis. The problem ticket will be progressed through the problem management lifecycle.</p> <p>Problem data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter Problem tickets based on appropriate measurement criteria.</p>	
REPORTING TOOLS	<ul style="list-style-type: none"> ▪ MSI ITSM ▪ MSI ServiceFlow 	
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.	
PERFORMANCE CATEGORY	Incident and Problem	
METRIC OWNER		

METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual
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B.2 Corrective Actions – Print-Mail

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Corrective Actions – Print-Mail		3-A	R2.1.2P	0
SERVICE LEVEL TYPE	Key Measurement			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.1.2E Corrective Actions – Enterprise		
METRIC DESCRIPTION	The Service Level “Corrective Actions – Print-Mail” measures the percentage of time Service Provider completes corrective actions within the committed timeframes.			
METRIC INCLUSIONS and DATA SOURCES AND DATA SOURCE	Corrective Actions associated with all Print-Mail Service Component Problem tickets.			
METRIC EXCLUSIONS	Corrective Actions internal to Service Provider.			
HOURS OF MEASUREMENT	N/A			
DAYS OF MEASUREMENT	N/A			
MINIMUM SERVICE LEVEL	90.00%			
EXPECTED SERVICE LEVEL	95.00%			
ALGORITHM	The Service Level calculation for “Corrective Actions – Print-Mail” is the total number of Corrective Actions that are completed within the required timeframe divided by the total number of Corrective Actions completed during the applicable Measurement Window, with the result expressed as a percentage.			
COLLECTION PROCESS	Corrective Actions will be logged and tracked in the MSI ITSM System. Corrective Actions will be assigned to teams who will implement the Corrective Actions. The Corrective Actions will be progressed through the problem management lifecycle. Problem data, including Corrective Actions, will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter Problem tickets based on appropriate measurement criteria.			
REPORTING TOOLS	<ul style="list-style-type: none">▪ MSI ITSM▪ MSI ServiceFlow			

RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Incident and Problem
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

B.3 Change Management Effectiveness – Print-Mail

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Change Management Effectiveness – Print-Mail		3-A	R2.2.1P	0
SERVICE LEVEL TYPE	Key Measurement			
CURRENTLY MEASURED	Yes, 12+ months of data available			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.1E Change Management Effectiveness – Enterprise		
METRIC DESCRIPTION	The Service Level for “Change Management Effectiveness – Print-Mail” measures the percentage of time Service Provider successfully implements Changes to the Services.			
METRIC INCLUSIONS and DATA SOURCES	Includes all Print-Mail Service Component Changes. Changes are not successfully implemented if they: (i) do not comply with the Change Management procedures (including the Change Control Process), the SMM and, except as specified in clause (iii) to this sentence, any associated project plan, (ii) cause either a Severity 1 Incident or Severity 2 Incident, (iii) exceeded the change window, (iv) are backed out, or (v) partial success of change is backed out or unsuccessful.			
METRIC EXCLUSIONS	Changes for high risk patches and updates.			
HOURS OF MEASUREMENT	N/A			
DAYS OF MEASUREMENT	N/A			
MINIMUM SERVICE LEVEL	93.00%			
EXPECTED SERVICE LEVEL	96.00%			

ALGORITHM	<p>The Service Level calculation for “Change Management Effectiveness – Print-Mail” is the number of changes that are successfully implemented by Service Provider divided by the number of changes implemented by Service Provider, with the result expressed as a percentage. Changes will be reported in the Measurement Window that the Change ticket is closed, allowing sufficient time to determine if the Change was successful.</p> <p>A low volume alternative calculation, set forth in <u>Attachment 3-A</u>, shall apply when the total volume of changes implemented falls within the volume (denominator) ranges specified in that Attachment.</p>
COLLECTION PROCESS	<p>Change tickets will be logged in the MSI ITSM system. Changes will be documented, categorized, and assigned to implementer teams who will work to plan, review, obtain approvals, and progress the ticket through the change management lifecycle.</p> <p>Change data will be uploaded to ServiceFlow on a daily basis. ServiceFlow will filter change tickets based on appropriate measurement criteria.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> ▪ MSI ITSM ▪ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	<p>Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.</p>
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

B.4 DR Test Report Delivery – Print-Mail

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
DR Test Report Delivery – Print-Mail		3-A	R2.2.2P	0
SERVICE LEVEL TYPE	Key Measurement			
CURRENTLY MEASURED	No			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.2E DR Test Report Delivery – Enterprise		
METRIC DESCRIPTION	The Service Level “DR Test Report Delivery – Print-Mail” measures the percentage of time Service Provider delivers DR test reports within 30 calendar days of the scheduled DR test. The Disaster Recovery test schedule is documented by the Service Provider in the annual DR Test Plan, and may be modified prior to the test, per the rescheduling procedure maintained in the SMM.			
METRIC INCLUSIONS and DATA SOURCES	Includes DR tests for agency applications as well as Service Provider DR tests for infrastructure applications and data centers, as defined in the SMM.			
METRIC EXCLUSIONS	N/A			
HOURS OF MEASUREMENT	N/A			
DAYS OF MEASUREMENT	N/A			
MINIMUM SERVICE LEVEL	90.00%			
EXPECTED SERVICE LEVEL	95.00%			
ALGORITHM	The Service Level calculation for “DR Test Report Delivery – Print-Mail” is the total number of DR test reports timely delivered, divided by the total number of DR test reports due within the Measurement Window, with the result expressed as a percentage. A DR test report is deemed as not delivered timely if a DR test is not completed as scheduled or is not scheduled. A low volume alternative calculation, set forth in <u>Attachment 3-A</u> , shall apply when the total volume of DR test reports falls within the volume (denominator) ranges specified in that Attachment.			

COLLECTION PROCESS	<p>Tracking and providing information regarding whether the Disaster Recovery (DR) tests were performed and DR test reports timely delivered will be the responsibility of the SCP with oversight provided by MSI.</p> <p>As part of the MSI's overall role in DR Planning, the MSI is responsible for the scheduling and execution of DR Tests. The Service Provider works with the MSI on the planning and execution of the tests and the MSI reports back to DIR and the Agencies on the DR Tests performed in scheduled testing window.</p> <p>The total number of DR test reports timely delivered and the total number of DR test reports due will be entered into ServiceFlow by the MSI via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web form data. Supporting documentation containing details of the data measured and validated will be attached to the Web Form.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> ▪ MSI ServiceFlow ▪ MSI DR plan management system
RAW DATA STORAGE (ARCHIVES)	<p>Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.</p> <p>Data is available from the MSI DR plan management system for at least the past 13 months.</p>
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

B.5 DR Test Plan Objectives Met – Print-Mail

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
DR Test Plan Objectives Met – Print-Mail		3-A	R2.2.3P	0
SERVICE LEVEL TYPE	Key Measurement			
CURRENTLY MEASURED	Yes, 12+ months data available			
SHARE TYPE and CORRESPONDING METRIC(S)	R	MSI: R2.2.3E DR Test Plan Objectives Met – Enterprise		
METRIC DESCRIPTION	<p>This Service Level “DR Test Plan Objectives Met – Print-Mail” measures the percentage of time Service Provider(s) successfully tests (as defined in the SMM) agency and Service Provider infrastructure. If a test is unsuccessful, Service Provider must remediate and successfully re-perform any failed test within ninety (90) days following the initially scheduled test (or such longer period as may be agreed upon by the Parties).</p> <p>The measurement is calculated based on successfully completing the overall test objectives, which must be defined before the test.</p> <p>For purposes of clarity, note that an objective may be met successfully even if issues are identified, provided that the overall objective is met.</p>			
METRIC INCLUSIONS and DATA SOURCES	All DR tests scheduled and performed in the Measurement Window.			
METRIC EXCLUSIONS	N/A			
HOURS OF MEASUREMENT	N/A			
DAYS OF MEASUREMENT	N/A			
MINIMUM SERVICE LEVEL	90.00%			
EXPECTED SERVICE LEVEL	95.00%			
ALGORITHM	<p>The Service Level calculation for “DR Test Plan Objectives Met – Print-Mail” is the total number of DR tests that are (i) successfully completed or (ii) successfully completed with issues, divided by the total number of DR tests performed during the applicable Measurement Window, with the result expressed as a percentage.</p> <p>A low volume alternative calculation, set forth in <u>Attachment 3-A</u>, shall apply when the total volume of DR tests falls within the volume (denominator) ranges specified in that Attachment.</p>			

COLLECTION PROCESS	<p>Tracking and providing information regarding whether the Disaster Recovery (DR) test plan objectives were met will be the responsibility of the SCP with oversight provided by MSI.</p> <p>The total number of DR tests that are (i) successfully completed or (ii) successfully completed with issues, and the total number of DR tests performed, will be entered into ServiceFlow by the MSI via ServiceFlow Web Form. ServiceFlow will calculate the SLA result based on the Web form data. Supporting documentation containing details of the data measured and validated will be attached to the Web Form.</p>
REPORTING TOOLS	<ul style="list-style-type: none">■ MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Cross Functional
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

B.6 Inventory Levels

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Inventory Levels		3-A	U2.3.7P	3
SERVICE LEVEL TYPE	Key Measurement			
CURRENTLY MEASURED	No, 12+ months of data available			
SHARE TYPE and CORRESPONDING METRIC	U	N/A		
METRIC DESCRIPTION	The Service Level for “Inventory Levels” measures the daily minimum inventory levels for print-mail forms, envelopes, and postage to ensure there is always usable inventory to meet daily demand. The specific inventory items (i.e. stock-keeping units) measured for “Inventory Levels” will be maintained in the SMM.			
METRIC INCLUSIONS	Inventory items for standard paper, standard envelopes, custom forms, DIR Customer provided inserts, custom envelopes, postage, or any other stock provided by a DIR Customer for the production of print or mail.			
METRIC EXCLUSIONS	Service Provider supplied materials for the generation of print and mail such as inks, toners, printer maintenance supplies, and inserter maintenance supplies are not considered inventory items for purposes of this Service Level. Inventory items provided by DIR Customers or Third Party Vendors, for which Service Provider has requested replenishment within agreed replenishment timeframes and DIR Customer or Third Party Vendor has failed to deliver as requested, may be excluded by request of the Service Provider and approval of DIR. Unusable stock may not be counted in inventory. Inventory items for which the DIR Customer has notified Service Provider will no longer be used are excluded.			
HOURS OF MEASUREMENT	24			
DAYS OF MEASUREMENT	Business Days			
MINIMUM SERVICE LEVEL	99.95%			
EXPECTED SERVICE LEVEL	99.99%			
ALGORITHM	The Service Level calculation for “Inventory Levels” is the sum of the number of inventory items per business day for which the inventory level of usable stock remained greater than the daily demand at all times within the applicable Measurement Window divided by the sum of the number of inventory items per business day within the applicable Measurement Window expressed as a percentage. If at any time an inventory item level reaches zero, it will count as one failure for this service level. Each inventory item failure will only be counted once per business day. If an inventory item level remains at zero for multiple business days, then it will count as missed for each business day the count remains at zero.			

COLLECTION PROCESS	<p>Physical inventory counts will be entered into the NearStar DataServer Inventory database no less than once per week. As jobs are received for printing, NearStar DataServer Inventory will inventory the job and calculate the number of forms and envelopes used. The number of forms and envelopes calculated will be deducted from the inventory counts in the inventory database.</p> <p>Daily inventory totals will be extracted from the NearStar DataServer Inventory system. On a weekly basis, Service Provider will upload a flat-file extracted from the inventory database to the MSI designated file store, which will contain detail inventory information for each business day of that week. The file will be imported into ServiceFlow weekly.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> • SCP NearStar DataServer Inventory • MSI ITSM • MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Other Service Delivery
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

B.7 Print-Mail Output Quality

SERVICE LEVEL NAME		EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Print-Mail Output Quality		3-A	U2.3.9P	0
SERVICE LEVEL TYPE	Key Measurement			
CURRENTLY MEASURED	Yes, 12+ months of data available			
SHARE TYPE and CORRESPONDING METRIC	U	N/A		
METRIC DESCRIPTION	The Service Level for “Print-Mail Output Quality” measures the number of customer-impacting defects in delivered documents and standard mailings during the applicable Measurement Window. Standard mail is all mail that is not designated as critical mail. Critical mail is designated by the DIR Customer for mailings that contain protected information by federal and State entities.			

METRIC INCLUSIONS	<p>A defect is a deficiency which renders a document unusable by the recipient to receive, read, respond, or take action appropriately. Examples of customer-impacting defects include:</p> <ul style="list-style-type: none"> ▪ Print was unreadable or unusable ▪ Printed on incorrect form ▪ Printed on wrong side of a form ▪ Print that does not align with preprinted form ▪ Insert was incorrect or missing ▪ Address was not visible in envelope window ▪ Incorrect postage ▪ Non-protected information was sent to the wrong individual <p>The number of defects shall be the number of defects determined to be delivered to addressees and not the number of incidents reported.</p> <p>This measurement shall include the total number of defects in delivered documents and standard mailings in the month in which they were identified and not the month in which they may have occurred or been delivered. Reporting date shall be the date of the incident unless another date is agreed between Service Provider and DIR.</p>
METRIC EXCLUSIONS	<p>Mail defects determined by DIR to be critical mail defects shall be counted in the Service Level U1.4.7P “Critical Mail Output Quality” or U1.4.9P “Per Piece Critical Mail Output Quality”. Any mail counted in U1.4.7P or U.1.4.9P shall not be counted in this measure.</p> <p>Defects discovered and corrected prior to delivery to any party shall be excluded.</p>
HOURS OF MEASUREMENT	N/A
DAYS OF MEASUREMENT	N/A
MINIMUM SERVICE LEVEL	99.90%
EXPECTED SERVICE LEVEL	99.95%
ALGORITHM	<p>The Service Level calculation for “Print-Mail Output Quality” is the number of delivered documents and standard mailings that should have been delivered or mailed during the applicable Measurement Window minus the number of documents with customer-impacting defects identified during the applicable Measurement Window divided by the number of delivered documents and standard mailings that should have been delivered or mailed during the applicable Measurement Window, with the result expressed as a percentage.</p>

COLLECTION PROCESS	<p>Upon identification of a customer-impacting defect, an incident ticket will be logged in the MSI ITSM system. Analysis will be performed to identify the type of defect and the total number of mail pieces (e.g. envelope) or delivered documents involved. Key systems used to perform problem scope identification and root cause analysis are NearStar DataServer Job Accounting software and DF Works.</p> <p>On a weekly basis, Service Provider uploads a flat file containing the number of delivered documents and a flat file containing the number of standard mailings to the MSI designated file store. The flat files will contain detailed information regarding all delivered documents and standard mail jobs that were scheduled for execution. The files will be imported into ServiceFlow weekly.</p> <p>The job number, job name, ITSM master Incident ticket number, and number of defects will be entered into ServiceFlow by the Service Provider via ServiceFlow Web Form.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> • SCP NearStar DataServer Job Accounting • SCP Pitney Bowes DF Works • MSI ITSM • MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.
PERFORMANCE CATEGORY	Other Service Delivery
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual

B.8 Non-Consolidated Print and Print Image Timeliness

SERVICE LEVEL NAME	EXHIBIT NUMBER	SECTION REFERENCE	START DATE
Non-Consolidated Print and Print Image Timeliness	3-A	U2.3.10P	0
SERVICE LEVEL TYPE	Key Measurement		
CURRENTLY MEASURED	No, 12+ months of data available		
SHARE TYPE and CORRESPONDING METRIC	U	N/A	

METRIC DESCRIPTION	<p>The Service Level for “Non-Consolidated Print and Print Image Timeliness” measures the percentage of time Service Provider prints and Images jobs and makes them available to DIR Customers within the relevant timeframe specified for the job.</p> <p>Scheduled jobs have defined timeframes for receipt and print which are maintained in the SMM. Ad hoc jobs do not have a defined receipt time and print time in the SMM.</p>
METRIC INCLUSIONS	All jobs printed at non-Consolidated locations and all jobs produced using Image Delivered (same day SLA) and Image Delivered Optional Services (2nd day SLA).
METRIC EXCLUSIONS	<p>Jobs with documents mailed through DCS mail services.</p> <p>Jobs with documents delivered by Service Provider courier to DIR Customer locations.</p> <p>Imaged jobs not charged as an optional service.</p>
HOURS OF MEASUREMENT	DIR Customer location business hours
DAYS OF MEASUREMENT	Business Days
MINIMUM SERVICE LEVEL	99.90%
EXPECTED SERVICE LEVEL	99.95%
ALGORITHM	<p>The Service Level calculation for “Non-Consolidated Print and Image Timeliness” is the total number of print pages and images delivered that are produced within the relevant timeframe divided by the total number of print pages and images delivered that should have been produced during the applicable Measurement Window, with the result expressed as a percentage.</p>

COLLECTION PROCESS	<p>The NearStar DataServer Job Accounting software identifies and catalogs every job received. Critical information, such as time and date received, number of print pages, and job print time, will be logged in the NearStar DataServer Job Accounting database.</p> <p>On a weekly basis, Service Provider uploads a flat-file extracted from the NearStar DataServer Job Accounting database that contains job level detail including job name, number of print pages, date and time received, date and time printed, attainment status (met or missed), to the MSI designated file store. The file will be imported into ServiceFlow weekly.</p> <p>For legacy locations with printers not managed through the NearStar DataServer Job Accounting software, when a job is not printed on time, an incident ticket is logged in the MSI ITSM. On a weekly basis, the number of print pages printed late and the total number of print pages that were printed will be entered by Service Provider into a ServiceFlow Web Form.</p> <p>Accounting information for delivered images will be collected by Nearstar Dataserver Job Accounting as well as Polaris Job Accounting. On a weekly basis, Service Provider uploads a flat-file extracted from the NearStar DataServer Job Accounting database and Polaris accounting records that contains job level detail including job name, number of images, date and time received, date and time delivered, attainment status (met or missed), to the MSI designated file store. The file will be imported into ServiceFlow weekly.</p>
REPORTING TOOLS	<ul style="list-style-type: none"> • SCP NearStar DataServer Job Accounting • SCP Polaris Job Accounting • SCP meter readings • MSI ITSM • MSI ServiceFlow
RAW DATA STORAGE (ARCHIVES)	<p>Data used to calculate the SLA results for reporting will be stored in the ServiceFlow application database, which will be accessible to authorized users via inherent report drill-down functionality for a rolling 13 months. An additional 23 months of data is archived and can be made available via ServiceFlow upon request by DIR.</p>
PERFORMANCE CATEGORY	Other Service Delivery
METRIC OWNER	
METRIC REPORTING	<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi Annual